

David H. Ben-Asher, Esq. (DB3242)  
RABNER, ALLCORN, BAUMGART & BEN-ASHER, P.C.  
2 Upper Montclair Plaza  
Montclair, New Jersey 07043  
(973) 744-4000

Marc A. Susswein, Esq.  
LIDDLE & ROBINSON, L.L.P.  
800 Third Avenue  
New York, New York 10022  
(212) 687-8500

*Attorneys for Plaintiffs Robert Waas  
and Robert Germano*

**Electronically Filed**

UNITED STATES DISTRICT COURT  
FOR THE  
DISTRICT OF NEW JERSEY

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ROBERT WAAS AND ROBERT GERMANO,	:
	:
Plaintiffs,	:
	:
v.	: Civil Action No.:
	: 2:07-cv-01714-DMC-MF
PRUDENTIAL FINANCIAL, INC., PRUDENTIAL	:
INVESTMENT MANAGEMENT, INC., AND	:
PRUDENTIAL INVESTMENT SERVICES, INC.,	:
	:
Defendants.	:
-----	X

**ORDER**

WHEREAS, Prudential Investment Management Services LLC ("Prudential"),  
filed a Uniform Termination Notice for Securities Industry Registration ("Form U-5") for  
Plaintiff Robert Waas (CRD No. 1278249) on December 13, 2004 with the Central Registration

Depository ("CRD") of the Financial Industry Regulatory Authority ("FINRA"), formerly known as the NASD; and

WHEREAS, Plaintiff Robert Waas now seeks to have amended certain information set forth in the Form U-5;

WHEREAS, Defendant Prudential raises no objection to amendment of the Form U-5;

WHEREAS, FINRA has received notice of Plaintiff Waas's application to this Court and does not seek to intervene in this matter or raise any objection to amendment of the Form U-5;

**IT IS HEREBY ORDERED, that:**

1. The CRD of FINRA expunge from the record of Robert Waas (CRD No. 1278249) that portion of Section 3 of Robert Waas's Form U-5 that states:

Waas contended that his refusal was based on his view -- not shared by Prudential's outside counsel -- that the Company had improperly changed the investment objectives for the applicable funds' prospectuses.

2. In all other respects the Form U-5 shall remain the same.

SO ORDERED:

Dated: June 16,  
~~July~~, 2008

A handwritten signature in black ink, appearing to read 'Mark Falk', written over a horizontal line.

**MARK FALK**  
**U.S. Magistrate Judge**  
Original: Clerk of the Court

cc: Hon. Dennis M. Cavanaugh, U.S.D.J.  
Carol Coleman, Arbitration Clerk  
Parties  
File